

MARICOPA ASSOCIATION OF GOVERNMENTS
DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM

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**Maricopa Association of Governments DBE Program
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**MARICOPA ASSOCIATION OF GOVERNMENTS (MAG)
DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM**

INTRODUCTION

The Maricopa Association of Governments (MAG) has maintained a Disadvantaged Business Enterprise (DBE) Program in compliance with federal regulations since the inception of the program in 1991. With the announcement of a new Part 26 (Title 49 in the Code of Federal Regulations) in the February 2, 1999 edition of the Federal Register, recipients of federal transportation funds are required to modify their DBE program to be consistent with the requirements stipulated in the new regulation. MAG's DBE program has been updated to comply with the requirements in 49 CFR 26.

Each of the following sections corresponds to a requirement in 49 CFR 26. The requirement is referenced in the section heading for reference purposes. Only the section number is cited with the understanding that the sections are contained in Title 49 of the Code of Federal Regulations.

§26.1, §26.13 OBJECTIVES/POLICY STATEMENT

MAG has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation (USDOT), 49 CFR Part 26. MAG, as a condition to receiving Federal financial assistance from the USDOT, has signed an assurance that it will comply with 49 CFR Part 26. It is the policy of the Maricopa Association of Governments to ensure that DBEs, as defined in part 26, have an equal opportunity to receive and participate in USDOT-assisted contracts. The following are MAG policy :

1. To ensure nondiscrimination in the award and administration of USDOT-assisted contracts in the USDOT's highway, transit and airport financial assistance programs;
2. To create a level playing field on which DBEs can compete fairly for USDOT-assisted contracts;
3. To ensure that the USDOT's DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet this part's eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in USDOT-assisted contracts; and
6. To provide appropriate flexibility to prime contractors in establishing and providing opportunities for DBEs.

The designated MAG DBE Liaison Officer is responsible for implementing all aspects of the DBE program. The Liaison will be assisted by other MAG staff as needed with the DBE requirements and compliance. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by MAG in its financial assistance agreements with the USDOT.

The MAG will disseminate this policy statement to the Regional Council and all the employees of our organization. MAG will notify DBE and non-DBE business communities that perform work on USDOT-assisted contracts, about MAG's DBE policy by placing it on our web site at mag@mag.maricopa.gov and making it available in the MAG office.

James M. Bourey, Executive Director

Date: _____

§26.5 DEFINITION OF TERMS

The terms used in this program have the same meanings as defined in the CFR Title 49 Part 26.5.

§26.7 NONDISCRIMINATION

MAG will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR Part 26 on the basis of race, color, sex, or national origin.

In administering its DBE program, MAG will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, color, sex, or national origin.

§26.11 RECORD KEEPING REQUIREMENTS

MAG will continue to provide data about its DBE program to the USDOT as directed by the operating administrations of the USDOT. This includes the DBE reporting requirements on a quarterly basis and prompt notification of any changes to the MAG DBE program.

MAG will create and maintain a **proposer's list database** (including DBEs and non-DBEs). The proposer's list will be comprised of firms that have expressed an interest in proposing on various projects at MAG. The companies will be categorized by their specialized service area(s) and MAG staff will be encouraged to notify these vendors regarding any related RFPs. The proposer's list database will include:

1. Firm's name, address, telephone number, fax number and e-mail
2. Firm's status as a DBE or non-DBE
3. Firm's area(s) of expertise

The proposer's list will be updated and maintained under the direction of the MAG DBELO.

MAG will also create and maintain a **bidder's list database** (including DBEs and non-DBEs), consisting of all companies that have bid on prime contracts and all companies that have bid or quoted on subcontracts of USDOT-assisted projects regardless of the outcome. The bidder's list database will include:

1. Firm's name, address, telephone number, fax number and e-mail
2. Firm's status as a DBE or non-DBE
3. Year established
4. Firm's annual gross receipts

The bidder's list will be updated and maintained under the direction of the MAG DBELO.

§26.13 ASSURANCES

Agreements with Granting Agencies:

MAG will incorporate into each financial assistance agreement it signs with ADOT or USDOT operating administration (FHWA, FTA or FAA or other primary recipient) the following assurance:

“The recipient shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any USDOT-assisted contract or in the administration of its DBE program or the requirements of 49 CFR part 26. The recipient shall take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of USDOT-assisted contracts. The recipient’s DBE program, as required by 49 CFR part 26 and as approved by USDOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the recipient of its failure to carry out its approved program, the Department may impose sanctions as provided for under part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).”

Agreements with Contractors, Subrecipients and Subcontractors:

MAG will incorporate into each contract it signs with a Prime Contractor, and require in each subcontract (that the Prime Contractor signs with a Subcontractor), the following assurance:

“The Contractor, Subrecipient or Subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49CFR part 26 in the award and administration of USDOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate.”

§26.21 DBE PROGRAM UPDATES

MAG will continue to carry out this program until all funds from USDOT financial assistance have been expended. MAG will also provide updates to the USDOT representing significant changes in its DBE program.

§26.25 DBE LIAISON OFFICER (DBELO)

MAG has designated a DBE Liaison Officer (DBELO). Correspondence regarding DBE matters should be sent to the attention of Arthur J. Rullo, MAG DBE Liason Officer and Fiscal Services Manager at 302 North 1st Avenue, Suite 300, Phoenix, Arizona 85003, (602) 254-6300 mag@mag.maricopa.gov. In that capacity, the MAG DBELO is responsible for implementing all aspects of the DBE program and ensuring that MAG complies with all provisions of 49 CFR Part 26.

The MAG DBELO has direct, independent access to the chief executive officer (CEO) of MAG concerning DBE program matters. The DBELO will be assisted in administering the DBE program by one other employee who will devote a portion of his or her time to the program. An organization chart displaying the DBELO's position is found in **Appendix A**.

The DBELO is responsible for developing, implementing and monitoring the DBE program, in coordination with other appropriate officials. Duties and responsibilities include the following:

1. Gathers and reports statistical data and other information as required by USDOT.
2. Reviews third-party contracts and purchase requisitions for compliance with this program.
3. Works with all relevant parties to set MAG's overall annual DBE goals.
4. Ensures that proposal notices and requests for proposals (RFPs) are available to DBEs in a timely manner.
5. Identifies contracts and procurements so that DBE goals are included in solicitations (both race-neutral methods and contract-specific goals) and monitors results.
6. Analyzes the MAG's progress toward goal attainment and identifies ways to improve progress.
7. Advises the CEO/governing body on DBE matters and achievement.
8. Participates with MAG's legal counsel and project managers to determine contractor compliance with good faith efforts.
9. Provides DBEs with information and assistance in submitting proposals.
10. Oversees the maintenance of MAG's **proposer's list database** and **bidder's list database**.

§26.27 DBE FINANCIAL INSTITUTIONS

It is the policy of the MAG to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to use these institutions, and to encourage prime contractors on USDOT-assisted contracts to make use of these institutions. MAG has made the following efforts to identify and use such institutions: MAG conferred with the Civil Rights Office personnel at the City of Phoenix and at ADOT and determined that there are no available DBE financial institutions in Maricopa County that can be used at this time.

§26.29 PROMPT PAYMENT MECHANISMS

MAG will incorporate the following prompt payment provision in its contracts:

“The contractor will pay subcontractors for satisfactory performance of contracts no later than fourteen (14) calendar days from the date that the contractor receives payment from MAG. The contractor will also return retainage payments to the subcontractor within fourteen (14) calendar days from the date of satisfactory completion of work.”

Also, the Prime Contractor will be requested to include the above language in the contracts with its subcontractors.

To comply with the intent of this provision:

Prime Contractors must:

- Provide the name of the Prime's contact and the address and phone number of its contact person to whom all invoices/billings statements must be sent.
- Pay subcontractors and suppliers within fourteen (14) days of receipt of payment from MAG.
- Stipulate the reason(s) in writing to the subcontractor or supplier and to MAG for not paying an invoice. Some possible reasons can be:
 1. Failure to provide all required documentation
 2. Unsatisfactory job performance
 3. Disputed work
 4. Failure to comply with other material provisions of the contract
 5. Third-party claims filed or reasonable evidence that a claim will be filed
 6. Reasonable evidence that the contract cannot be completed for the unpaid balance of the contract sum or a reasonable amount for retainage.

Subcontractors must:

- Submit invoices or billing statements to the Prime Contractor's designated contact person in an appropriate format and in a timely manner. The format and the timing of billing statements must be specified in the contract(s) between the Prime and the subcontractor(s).

MAG will:

- Investigate allegations of nonpayment by the contractor (i.e. may be the Prime Contractor or a Subcontractor).
- Provide a written statement of the findings to the complainant within 15 days of receipt of the complaint(s).
- In circumstances where there is not a valid reason for nonpayment, MAG may withhold payments in the amount of the unpaid portion of the Prime Contractor's invoice.

§26.31 DBE DIRECTORY REQUIREMENTS

The DBE directories from the City of Phoenix and ADOT will be made available to Prime Contractors for projects identified as race-conscious and to any other interested parties. The listing for each DBE company will include its name, address, phone number, fax number, e-mail and type of services the firm has been certified to perform as a DBE. The City of Phoenix and ADOT's DBE directories are provided in **Attachments F and G**.

§26.33 OVERCONCENTRATION

When MAG determines DBE firms are so overconcentrated in a certain type of work as to unduly burden the opportunity of non-DBE firms to participate in the highway, transit or aviation planning program, it will develop written procedures to address this situation. The procedures will be submitted to the appropriate USDOT operating administration(s) (such as FHWA, FTA, or FAA) for review and approval prior to implementation.

§26.35 BUSINESS DEVELOPMENT OR MENTOR-PROTÉGÉ PROGRAMS

MAG does not have a business development or mentor-protégé program.

§26.37 PROGRAM MONITORING

MAG will implement appropriate mechanisms to **ensure compliance** with the party's requirements by all program participants. The mechanisms MAG may use, include, but are not limited to:

- MAG will notify subcontractors (DBE and Non-DBEs) of the Prime Contractor's responsibility for prompt payment and encourage subcontractors to notify MAG in writing with any possible violations to the prompt payment mechanism.
- Withholding payment from Prime Contractors who do not comply with the prompt payment provision noted above, where it has been determined by the MAG DBELO that delay of payment to the subcontractor is not justified.
- Stopping work on the contract until compliance issues are resolved.
- Terminating the contract.

MAG will verify that the work committed to DBEs at contract award is actually performed by DBEs. This will be accomplished by:

- Requiring Prime Contractors to report DBE work performed in each monthly progress report along with an indication of the number of hours worked, any costs incurred and the amounts paid to the DBE(s).
- Ensuring that DBE participation is credited toward the overall goal or contract goals only when payments **are actually made** to DBE firms.

§26.43 QUOTAS

MAG does not use quotas in any way in the administration of this DBE program.

§26.45 CALCULATING THE OVERALL DBE PROGRAM GOAL

MAG has established an overall goal of 11 percent for DBE participation in USDOT-assisted contracts. The goal is based upon evidence of the availability of ready, willing and able DBEs relative to all businesses ready, willing and available to participate on USDOT-assisted contracts. The goal reflects the level of DBE participation anticipated, absent the effects of discrimination.

In accordance with §26.45, MAG has employed a two-step process to calculate its DBE program goal. The first step involves determining a base figure for the relative availability of DBEs in the area by using a proposer's list. This has been accomplished by:

- Determining the number of DBEs that have submitted a proposal or received an RFP on USDOT-assisted prime contracts or subcontracts in FY 99.
- Determining the number of all businesses that have submitted proposals or received an RFP on USDOT-assisted prime contracts or subcontracts in FY 99.
- Dividing the number of DBE proposers by the number of total proposers.

The method identified above resulted in a base figure of 11.6 percent. Documentation of the proposers lists, as mentioned, is included in **Appendix B**. The second step involved examining evidence available to determine what adjustment, if any, was needed to the base figure in order to arrive at the overall goal.

To determine what types of adjustments, if any, were needed to the base figure, three different sources of evidence were examined.

- The first evidence examined was the dollar value of contracts or subcontracts awarded to DBE proposers during the fiscal year 1999 as a percentage of the total dollar value of all contracts awarded. This yielded a 2.3 percent DBE participation rate (**see Appendix C**). However, in light of past experience on the contributions of DBEs and the potential for FY 2000 contracts, this percentage rate appeared unreasonably low and was discarded.
- The second evidence examined was the number of DBE and non-DBE candidates for each MAG contract during the fiscal year 1999. In this instance, DBEs and non-DBEs were counted each time they submitted a proposal. This method resulted in a DBE participation rate of 11.2 percent (**see Appendix D**).
- The third evidence examined was for the (special case of) Federal Aviation Administration contracts. Because no aviation contracts were awarded in the past year, MAG staff examined potential proposers on future MAG aviation contracts. And since aviation planning is a highly specialized field, an examination was made of the *Airport Consultants Council 1999 Directory* to determine which consulting firms had the technical expertise to perform MAG aviation system planning studies. The number of DBEs certified to do aviation work was determined based upon the DBE Directories of the City of Phoenix and ADOT. Based upon the evaluation, it was determined that 9.8 percent of the consultant firms (that were capable of doing aviation system planning) were eligible DBEs (**see Appendix E**).

To calculate the MAG DBE goal, the base figure calculation and these two other pieces of evidence were used. The average of the three measures (11.6, 11.2 and 9.8 percent) yielded a goal of 10.87 percent, rounded to 11 percent.

§26.51 PROCESS TO MEET THE OVERALL GOAL

Current Process:

In establishing the goal, MAG consulted with and considered the opinions of DBE and non-DBE contractors, and published a notice in the *Arizona Republic* and the *Arizona Informant*. The purpose of the public notices was to notify contractors of the opportunity to review the Draft MAG DBE program and offer comments on the MAG FY 2000 goal. The comments received were reviewed, and any input to the goals considered, prior to submitting the program to FHWA and ADOT.

Future Process:

MAG will review its DBE program goal each year and consult with ADOT and/or the applicable USDOT operating administration(s) regarding any necessary changes. MAG will begin using the respective goal on October 1 of each year, unless MAG receives other instructions from ADOT and/or the appropriate USDOT operating administration(s).

Race Neutral and Race Conscious Participation:

MAG will meet the overall program goal through the use of race-neutral measures and by establishing contract goals. MAG is committed to meeting its overall program goal of 11 percent DBE participation *with 5.5 percent race-neutral measures and 5.5 percent race-conscious measures*.

MAG will use the race-neutral measures including, but not limited to the following:

1. DBE participation on a prime contract that a DBE obtains through customary competitive bidding procedures.
2. DBE participation on a subcontract through a prime contract that does not have a DBE goal.
3. DBE participation on a prime contract exceeding a contract goal.
4. DBE participation on a subcontract from a prime contractor that did not consider a firm's DBE status in making the award.

MAG will use the race-conscious measures including, but not limited to the following:

1. DBE participation goals will only be used on USDOT-assisted contracts that have subcontracting possibilities.
2. DBE participation goals will not be required for every USDOT-assisted contract.
3. DBE participation goals are not required to be the same as the overall program goal. The goal for a specific contract may be higher or lower than the percentage level of the overall goal.
4. DBE participation goals must provide for participation by all certified DBEs and must not be subdivided into group-specific goals.

In RFPs MAG will require that:

1. Award of a contract will be contingent upon compliance with the provisions of CFR Title 49 Part 26.53.
2. All proposers will be required to include the following information in their proposal and contract:
 - a. The names, addresses, telephone number, fax number and e-mail of DBE firms, if any, that will participate in the contract
 - b. A clear and concise description of the work that each DBE will perform
 - c. The dollar amount of the participation of each DBE firm participating
 - d. Written documentation of the proposer's commitment to use a DBE subcontractor(s) whose participation it submits to meet a contract goal
 - e. If the contract goal is not met, evidence of good faith efforts to meet the goal

If the successful proposer fails to meet the requirements noted above, MAG will provide the proposer an opportunity for administrative reconsideration prior to awarding a contract. Based on evidence submitted, through the MAG DBE Liaison to the MAG Assistant Director, a written determination will be made as to whether or not the proposer met the goal (or made adequate good faith efforts to meet the goal).

MAG will also include in prime contracts with a DBE goal, a provision stating that contractors shall not terminate a subcontractor for convenience and then perform the work of the terminated subcontractor with its own forces, or that of an affiliate, without the prior written consent of the MAG DBELO. Where a Prime Contractor does terminate a subcontractor, or when a subcontractor fails to complete its work for any reason, the Prime Contractor will be required to make good faith efforts to find another DBE subcontractor to substitute for the original DBE.

§26.53 GOOD FAITH EFFORTS

MAG treats proposers' compliance with Good Faith Efforts as a matter of *responsiveness*. (*Non-responsiveness* is viewed as not meeting the terms of the contract.)

Demonstration of good faith efforts:

The obligation of the proposer is to make good faith efforts. The proposer can demonstrate that it has done this, either by meeting the contract goal or by documenting good faith efforts. Examples of good faith efforts are found in Appendix A of part 26 in Title 49 of the Code of Federal Regulations.

The MAG DBELO is responsible for notifying the MAG Assistant Director of situations where it appears that a proposer has not met the contract goal. If the proposer is using DBEs or made good faith efforts to meet the contract goal, administrative reconsideration will be provided (see the

following section entitled “Administrative Reconsideration” for more details). During administrative reconsideration, the Executive Director will make a final determination as to whether the proposer made a good faith effort to meet the goal. MAG will ensure that all information is complete and accurate and adequately documents the proposer’s good faith efforts before MAG commits to the performance of the contract by the proposer.

Administrative Reconsideration

Within seven (7) calendar days of being informed by MAG that the proposer is not compliant because it has not documented sufficient good faith efforts, a proposer may request administrative reconsideration. Proposers should make this request in writing to the attention of Arthur J. Rullo, MAG DBE Liaison Officer and Fiscal Services Manager at 302 North 1st Avenue, Suite 300, Phoenix, Arizona 85003, (602) 254-6300, mag@mag.maricopa.gov. The reconsideration official (i.e. the Executive Director) will not play any role in the original determination by the DBELO that the proposer did not make sufficient good faith efforts.

As part of this reconsideration, the proposer will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so; or to have a personal meeting with the DBELO and any other appropriate MAG staff. The Executive Director will issue the proposer a final written decision on reconsideration, explaining the basis for his/her finding that the proposer did or did not meet the goal or make adequate good faith efforts to do so. The result of the reconsideration process is not administratively appealable to the USDOT.

Good Faith Efforts When a DBE is Replaced on a Contract

MAG will require a contractor to make good faith efforts to replace a DBE that is terminated or has otherwise failed to complete its work on a contract with another certified DBE, to the extent needed to meet the contract goal. MAG will require the Prime Contractor to notify the DBELO immediately of the DBE's inability or unwillingness to perform and provide reasonable documentation.

In this situation, MAG will require the Prime Contractor to obtain MAG’s prior written approval of the substitute DBE and to provide copies of new or amended subcontracts, or documentation of good faith efforts. If the contractor fails or refuses to comply in the time specified, MAG’s Executive Director may issue an order stopping all or part of payment/work until satisfactory action has been taken or may withhold payments from the contractor. If the contractor still fails to comply, the Executive Director may terminate the contract.

§26.55 COUNTING DBE PARTICIPATION

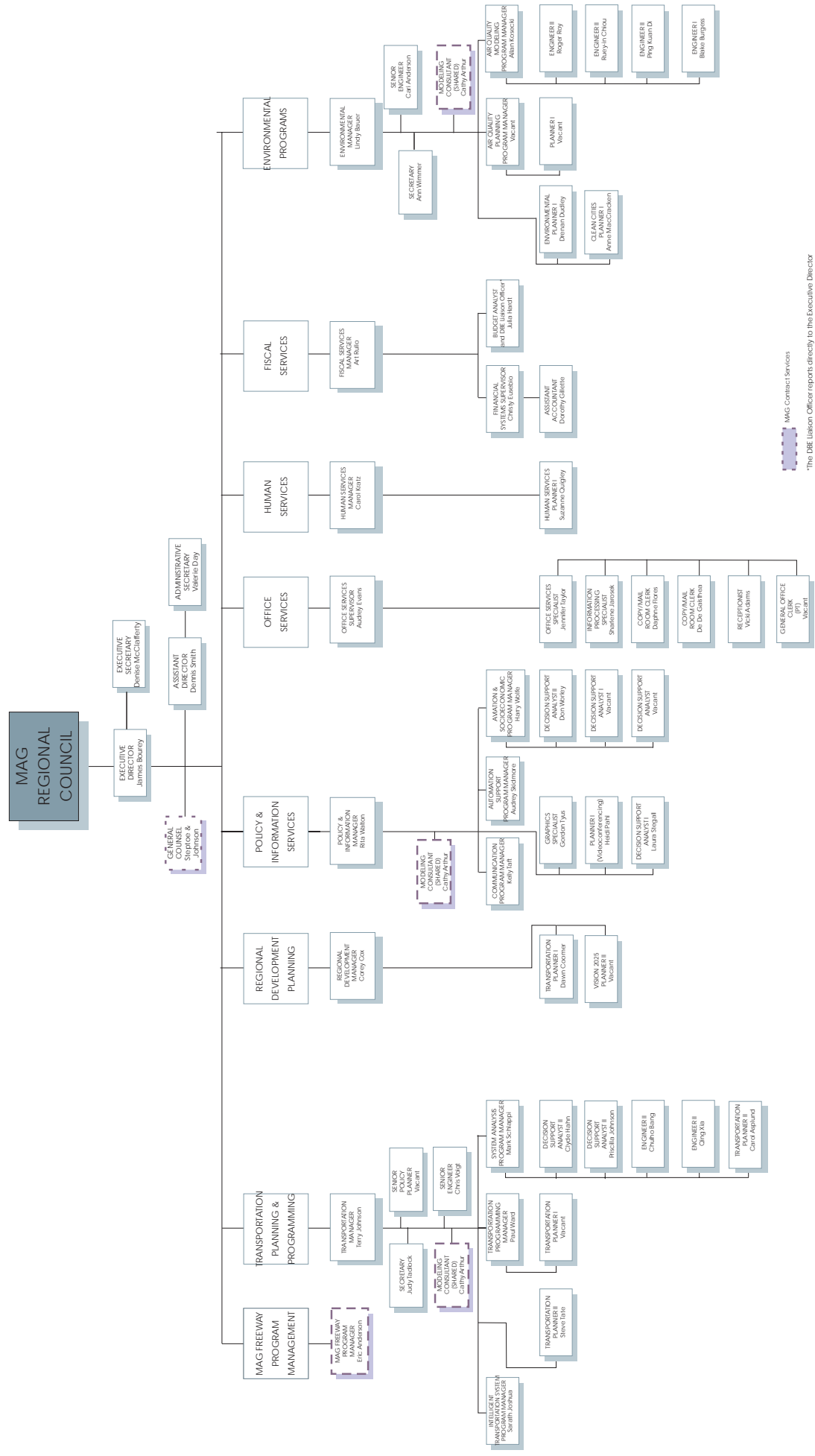
MAG will count DBE participation toward the DBE goal in accordance with requirements identified in §26.55 of Title 49 of the Code of Federal Regulations.

§26.61 CERTIFICATION STANDARDS

MAG will only use DBEs that have been certified as eligible by the City of Phoenix or ADOT in accordance with CFR Title 49 Part 26.61. The DBE is required to be certified at the time the contract is awarded.

The use of these two DBE Directories will enable MAG to take advantage of the expertise and staff available in larger public agencies while avoiding the cost and staff effort to review and certify DBE firms. **(See Appendix F and Appendix G.)**

Staff Organization



MAG Contract Services

*The DBE Liaison Officer reports directly to the Executive Director

Appendix B: DBE Candidates to Total Candidates for MAG Projects Funded by FHWA

A Dye Design
Abracadabra Productions, Inc.
Applied Environmental Consultants, Inc.
Applied Management & Plan Group
ASL
ATD-Northwest
Audio Video Recorders
BJ Communications
BRW
Behavior Research Center, Inc.
Bolduc, Smiley & Associates
Brian Poliquin
Bruce Merrill
CBD Planning
Cambridge Systematics
Carpe Diem Productions
Carter Burgess
Castle Rock Consultants
Catalina Engineering
Katherine Christensen & Associates
Cella Barr Associates
Contract Compliance Inc.
Current Training & Consulting
dba Sigma Research
DKS Associates
DMJM
DPLW Architecture & Engineering
Dames & Moore
David Evans & Associates
Desert Media
Desert Research Institute
Design Workshop
Dr. Jennie Zesmer Gorrell
E Group
Electronic Integrated Solutions (EIS)
ENSR Consulting and Engineering
ENVIRONM Corporation
Entranco
Erik T. Ferguson & Associates
GIS/TRANS
Gruen Associates
Gunn Communications
HDR Engineering
Harding Lawson Associates
Hardt & Junk Associates
Heffernan & Associates
Hexagon Transportation Consult
Intelliant

International Research Center
John Minnett
Judi Mead
Keystone Environmental Resources, Inc.
Kimley-Horn & Associates
Kleinfelder
Kwik Copy
LL Decker & Associates
Lee Engineering
Lima & Associates
Lockheed Martin
MMI Associates
Maureen Keryan Jeppeson
Maxwell Information Systems Inc.
Mountain States Printing
Multisystems, Inc.
Norstan Communications
Odetics ITS
O'Neill Associates
Pacific Environmental Services
PBS&J
Parsons Brinkerhoff Quade & Douglas
Parsons Transportaton Group
Planners Ink Corporated
Planning Center
Post, Buckley Schuh & Jernigan Inc
Public Information Outreach
RH & Associates
Radian Corporation
SEMCOM
S.R. Beard and Associates, Inc.
The Sherman Group
Sierra Research Incorporated
Skycomp, Inc.
Sonoma Technology, Inc.
Sprinkle Consulting
Systems Applications International
TRC Environmental Corporation
Task Engineering Company Inc.
The Cricket Contrast
Transcor
TranSmart Technologies
TRA
U.S. West
Valley Research Corporation
Vesa, Inc.
WestGroup

Appendix C

Dollar Value of DBE Candidates to Total Dollar Value of All Candidates

Name of Project	Contract Amount	# of DBEs	# of Non-DBEs	% to DBE	% Non-DBE	DBE Dollar Value	Non-DBE Dollar Value	TOTAL Dollar Value
Focus Groups	\$15,975	9	8	*	*	\$143,775	\$127,800	\$271,575
Teleconferencing	\$46,000	4	6	13.0%	87.0%	\$23,920	\$240,120	\$264,040
Telecommuting - Market Research	\$47,000	0	5	12.5%	87.5%	\$0	\$205,625	\$205,625
Telecommuting - Creative Services	\$218,000	4	57	12.5%	87.5%	\$109,000	\$10,872,750	\$10,981,750
Telecommuting - Connectivity Guidebook	\$10,000	0	37	0.0%	100.0%	\$0	\$370,000	\$370,000
External Travel Survey	\$150,000	2	24	13.0%	87.0%	\$39,000	\$3,132,000	\$3,171,000
West Valley Multi-Modal Transp. Study	\$45,000	3	33	13.0%	87.0%	\$17,550	\$1,291,950	\$1,309,500
Pedestrian Plan Update	\$70,000	3	33	13.0%	87.0%	\$27,300	\$2,009,700	\$2,037,000
Pedestrian Assistance - Phoenix	\$60,000	3	33	13.0%	87.0%	\$23,400	\$1,722,600	\$1,746,000
Pedestrian Assistance - Gila Bend	\$25,000	3	33	13.0%	87.0%	\$9,750	\$717,750	\$727,500
Valley Vision 2025 Assistance	\$25,000	0	1	No Goal	No Goal	\$0	\$25,000	\$25,000
ITS Strategic Plan	\$250,000	5	14	13.0%	87.0%	\$162,500	\$3,045,000	\$3,207,500
Ozone Education - Advertising/Media	\$290,000	0	1	0.0%	100.0%	\$0	\$290,000	\$290,000
Ozone Education - Market Research	\$10,850	0	1	0.0%	100.0%	\$0	\$10,850	\$10,850
						\$556,195	\$24,061,145	\$24,617,340

2.3%

* Where DBEs can act as a prime consultant, no goal is established.

Appendix D

Number of DBE Candidates to Total Number of All Candidates

Name of Project	Contract Amount	# of DBEs	# of Non-DBEs	Total Proposers
Focus Groups	\$15,975	9	8	17
Teleconferencing	\$46,000	4	6	10
Telecommuting - Market Research	\$47,000	0	5	5
Telecommuting - Creative Services	\$218,000	4	57	61
Telecommuting - Connectivity Guidebook	\$10,000	0	37	37
External Travel Survey	\$150,000	2	24	26
West Valley Multi-Modal Transp. Study	\$45,000	3	33	36
Pedestrian Plan Update	\$70,000	3	33	36
Pedestrian Assistance - Phoenix	\$60,000	3	33	36
Pedestrian Assistance - Gila Bend	\$25,000	3	33	36
Valley Vision 2025 Assistance	\$25,000	0	1	1
ITS Strategic Plan	\$250,000	5	14	19
Ozone Education - Advertising/Media	\$290,000	0	1	1
Ozone Education - Market Research	\$10,850	0	1	1
	\$1,262,825	36	286	322
				<u>11.2%</u>

Appendix E: DBE Candidates to Total Candidates for FAA Projects Based Upon Consultants that are Qualified to Participate in Airport System Planning Projects

AAROTEC

Advanced Aviation Concept, Inc.

Airport Development Group

Airport Technology and Planning Group

Armen DerHohannesian & Associates

Aviation Resource Partners, Inc.

Michael Baker Jr. Inc.

Barnard Dunkelberg & Company Inc.

Bechtel Corporation

Louis Berger Associates

BRW Inc.

Bucher Willis & Ratliff

Burns & McDonnell

Carter & Burgess

CH2MHill

Coffman Associates

Dayl Cohen Associates

DMJM Aviation

Edwards & Kelsey

GKMG Consulting

GRW Willis

Harris Miller Miller & Hanson

Heffernan & Associates

HDR Engineering

HNTB Corporation

Hoyle Tanner & Associates

Huitt-Zollars

Edward Just Associates

Landrum & Brown

Leigh Fisher Associates

Mead & Hunt

Mosaic Analytical Planning

The MITRE Corporation

NBBJ

P&D Aviation

Parsons Aviation

PB Aviation

QED

Reynolds, Smith & Hills

Shutt Moen Associates

Simat, Helliesen & Eichner

R Dixon Speas

Stantec Consulting Inc.

Sverdrup Aviation

TAMS Consultants

Unison Consulting

URS Greiner

Waddell Engineering Corporation

Woolpert LLP

Wyle Laboratories